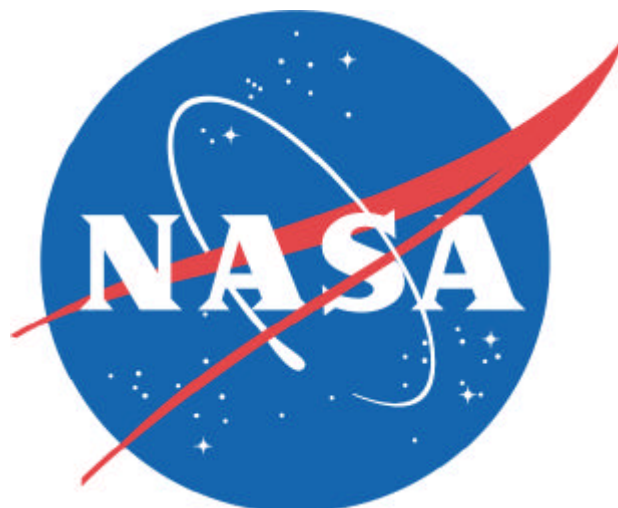


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]  
Research Programs Management Division (Code SR)

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**Subject: NASA Research Announcement (NRA) for R&A Investigations**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

# **NASA Research Announcement (NRA) for R&A Investigations**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (11/16/1999)

Dr. Earle K. Huckins

Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]  
Research Programs Management Division (Code SR)

## Subject: NASA Research Announcement (NRA) for R&A Investigations

### DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	<ul style="list-style-type: none"><li>Initial "baseline" version of the OWI.</li></ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"><li>Incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li></ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"><li>Incorporates revised list of disciplines into Section 2.3.</li><li>Incorporates modifications from SSE Process Owner (e.g., NPG 7120.5 certification) into Section 5, Section 6, and Section 7.</li><li>Revises set of quality records in Section 5 and Section 7.</li><li>Revises quality-record information in Section 7.</li><li>Incorporates recent terminology and format standardization.</li></ul>

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**1. PURPOSE** The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAA's) of solicitations of investigations in the category of NASA Research Announcements (NRA's).

### **2. SCOPE AND APPLICABILITY**

2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAA's is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.

2.2 NRA's solicit relatively low-cost (typically \$50,000 to \$200,000) supporting Research and Analysis (R&A) investigations for repetitive programs funded by NASA's on-going R&A budget. R&A support is used to help understand natural space phenomena and their related technologies, including theoretical studies and ground-based laboratory developments.

2.3 Most OSS NRA's are for basic research of a continuing nature in various science disciplines that are subject to revision in accordance with the evolving OSS science objectives.

2.4 NRA's must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FAR's) and NASA FAR Supplements (NFS's).

2.5 NRA's must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.

2.6 Proposals submitted in response to NRA's are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.

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- 2.7 A designated Selecting Official selects qualified proposals of merit within the limits of the available program budget.
- 2.8 The Senior Program Executive for Review and Evaluation oversees the preparation, approval, and release of all OSS NRA's.
- 2.9 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard requests for proposals (RFP's) are not used to solicit OSS research proposals.

### **3. DEFINITIONS**

- 3.1 Code G. NASA Headquarters Office of the General Counsel.
- 3.2 Code H. NASA Headquarters Office of Procurement.
- 3.3 Code I. NASA Headquarters Office of External Relations.
- 3.4 Code S. NASA Headquarters Office of Space Science.
- 3.5 Designated Program Official. NASA official designated by the Associate Administrator for Space Science to approve the release of an NRA.
- 3.6 Non-conflicted reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with NRA proposers or their institutions.
- 3.7 Notice of Intent. A notice or letter submitted by a potential investigator indicating the intent to submit a proposal in response to an NRA.
- 3.8 Peer Review. The process of proposal review utilizing a group of peers, by mail and/or meeting in panel, in accordance with the evaluation criteria stated in an NRA.

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- 3.9            Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal program documents; providing science leadership for the program, and assessing science performance.
- 3.10          Research Program Plan. This plan includes a listing of all proposals from the current NRA recommended for selection or rejection, along with all continuing multi-year tasks and the required funding for each.
- 3.11          Selecting Official. NASA official designated to determine the source for award of a contract or grant.
- 3.12          Technical Feasibility Review. Review of the feasibility of proposed innovative research equipment, or of proposed interface of such equipment with NASA-furnished facilities, prior to completion of Peer Review.

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### **4. REFERENCES**

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|------|--------------------------|---|
| 4.1  | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems --<br>Model for Quality Assurance in Design,<br>Development, Production, Installation, and<br>Servicing |
| 4.2  | HCP1280-2                | Corrective and Preventive Action  |
| 4.3  | HCP1280-3                | Internal Quality Audits   |
| 4.4  | HCP1400-1                | Document and Data Control   |
| 4.5  | HCP3410-4                | Employee Training   |
| 4.6  | HQPC1150.1               | NASA Headquarters Quality Council Policy<br>Charter   |
| 4.7  | HQSM1200-1               | NASA Headquarters Quality System Manual   |
| 4.8  | NHB 5100.4               | NASA FAR Supplement Part 1852.235-72<br>Instructions for Responding to NASA<br>Research Announcements for Solicited Basic<br>Research Proposals     |
| 4.9  | NPD 1000.1               | NASA Strategic Plan   |
| 4.10 | NPD 8730.3               | NASA Quality Management System Policy (ISO<br>9000)   |
| 4.11 | NPG 1000.2               | NASA Strategic Management Handbook  |
| 4.12 | NPG 1441.1               | NASA Records Retention Schedules (NRRS)   |
| 4.13 |                          | NASA Budget   |

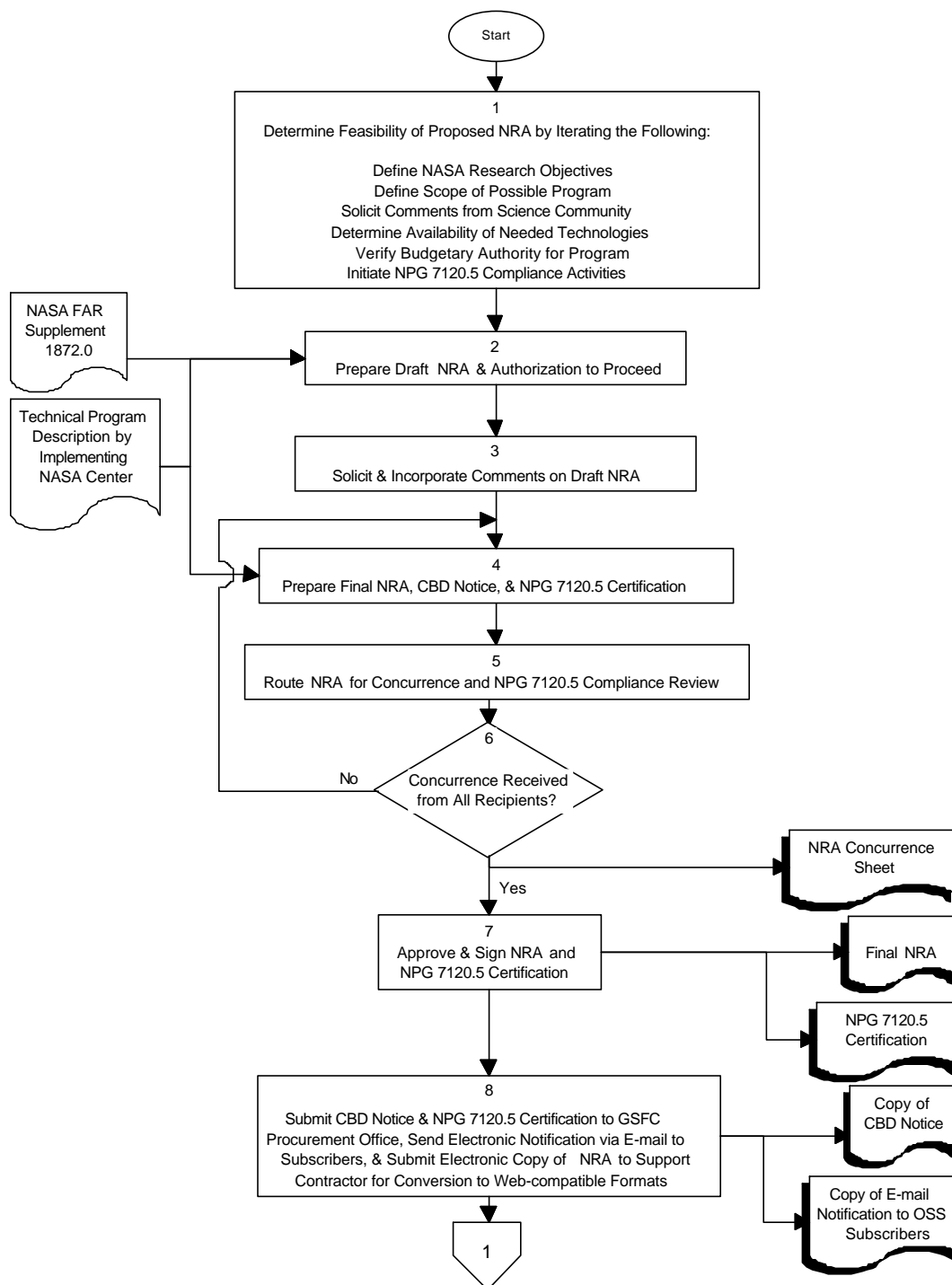
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### 5. FLOWCHART

[NOTE: "Quality records" are identified via shadowing of their ANSI symbols.]

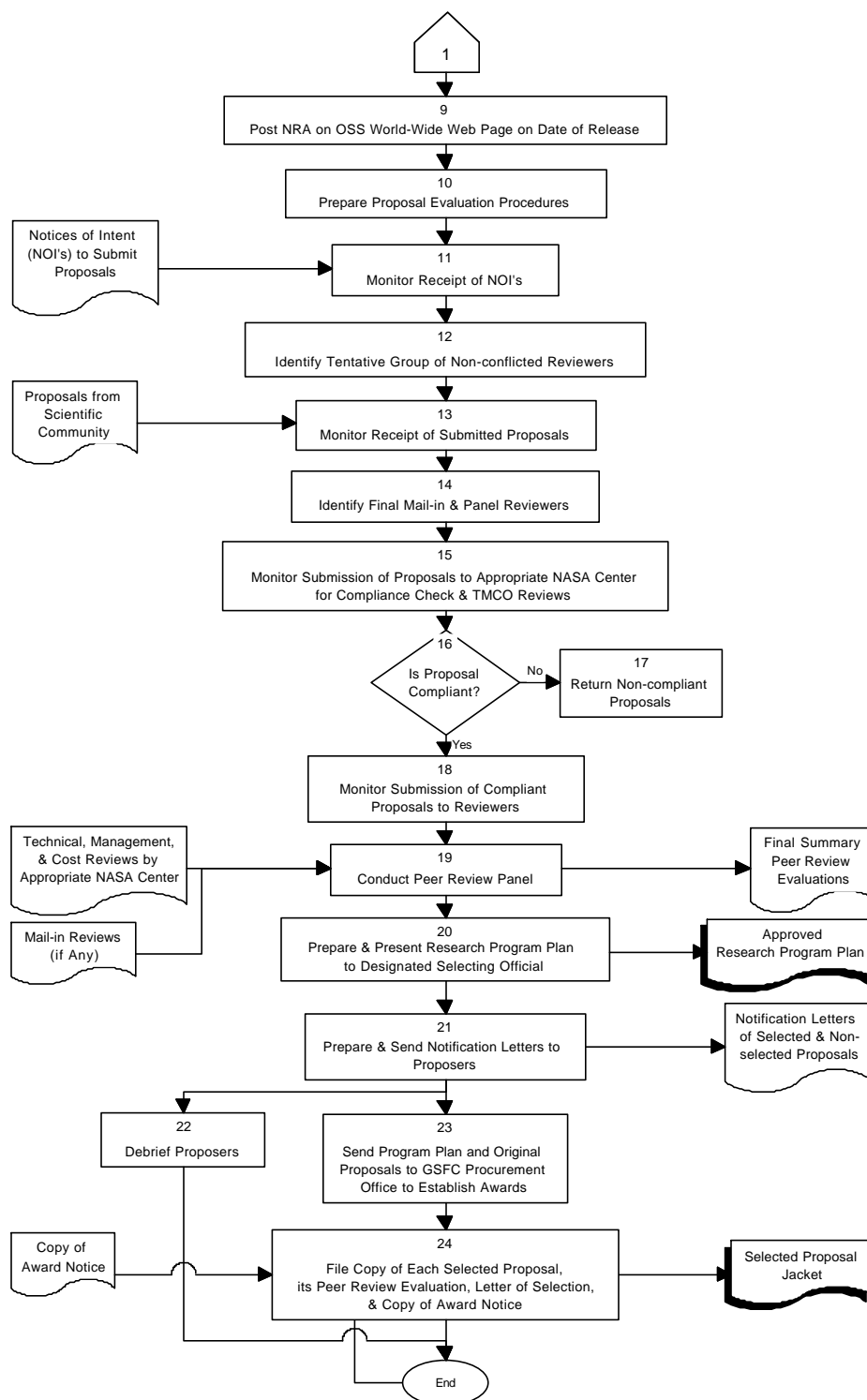


CHECK THE MASTER LIST AT <http://hqiso9000.hq.nasa.gov>  
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### 6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Program Scientist	Determine the feasibility of a proposed NRA by iterating the following: <ul style="list-style-type: none"><li>• Define NASA research objectives</li><li>• Define the scope of a possible program</li><li>• Solicit comments from the science community</li><li>• Determine the availability of needed technologies</li><li>• Verify budgetary authority for the program</li><li>• Initiate NPG 7120.5 compliance activities</li></ul> <p>[NOTE: These activities occur in parallel in an iterative manner.]</p>
2	Program Scientist	Prepare the draft NRA and solicit and incorporate comments and recommendations on it from all responsible personnel within OSS as well as the NASA Headquarters Office of Procurement and Office of General Counsel.
3	Program Scientist	If authority to proceed with issuance of the possible NRA and designation of the cognizant Program Scientist is received from the Associate Administrator for Space Science, proceed to Step #4. If authority to proceed is denied by the Associate Administrator for Space Science, return to Step #1.
4	Program Scientist	Prepare the final version of the NRA and the notice summarizing the purpose and content of the NRA for publication via the <i>Commerce Business Daily</i> (CBD).
5	Program Scientist	Submit the final version of the NRA to the OSS Senior Science Program Executive for Review and Evaluation for review and concurrence and establishment of the appropriate concurrence list.

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| 6  | Program Scientist                               | Determine whether any of the reviewers of the final version of the NRA have non-concurred. If not, submit the NRA for approval and signature per Step #7. If non-concurrences have been received (e.g., from Code S, Code I, Code H, and/or Code G), revise the NRA as appropriate and repeat the review cycle in Steps #4 and #5.  |
| 7  | Designated Selecting Official                   | The Associate Administrator for Space Science or a Science Program Director (as appropriate) approves and signs the final NRA and the NPG 7120.5 Certification.   |
| 8  | Program Support Specialist                      | Send the <i>Commerce Business Daily</i> (CBD) notice to the Goddard Space Flight Center (GSFC) Procurement Office which then publicly announces the forthcoming NRA via the CBD fifteen calendar days prior to formal release of the NRA. The notice is also sent out through the OSS Electronic Notification System to all subscribers. Submit an electronic copy of the NRA to the OSS Support Contractor for conversion into Web-compatible formats. |
| 9  | Program Support Specialist<br>Program Scientist | The Program Support Specialist posts the NRA on the OSS World-Wide Web home page on its advertised date of release. The Program Scientist verifies compliance with this requirement and notifies the Program Support Specialist of any instances of noncompliance.  |
| 10 | Program Scientist                               | Prepare proposal-evaluation procedures.   |
| 11 | Program Scientist                               | Monitor the OSS Support Contractor's activities of processing Notices of Intent (NOI's) to submit proposals. OSS <i>requests</i> that all interested proposers submit NOI's. Although these NOI's are not mandatory, they facilitate OSS selection of peer reviewers of submitted proposals by identifying prospective proposers who are ineligible to serve as peer reviewers.   |
| 12 | Program Scientist                               | Identify a tentative group of non-conflicted reviewers of proposals that are expected to be submitted in response to the NRA, based upon NOI's and upon research areas expected in  |

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proposals.

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| 13 | Program Scientist | Monitor the OSS Support Contractor's activities of receiving, sorting, and logging all submitted proposals.   |
| 14 | Program Scientist | Identify the final mail-in and panel reviewers, based upon actual proposers and proposed research objectives and technologies.  |
| 15 | Program Scientist | Monitor the OSS Support Contractor's activity of sending the proposals to the appropriate NASA Center for check on compliance and TMCO reviews.   |
| 16 | Program Scientist | Based upon the activity in Step #15, determine whether each proposal is compliant with the NRA requirements. For non-compliant proposals, proceed to Step #17. For compliant proposals, proceed to Step #18.  |
| 17 | Program Scientist | Return non-compliant proposals to their submitters.   |
| 18 | Program Scientist | Monitor the OSS Support Contractor's activity of sending copies of received proposals to all designated reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via postal or electronic mail. Other reviewers will participate in an "on-site" review panel.   |
| 19 | Program Scientist | Convene the Peer Review Panel to review and evaluate each proposal. Technical, management, and cost-review inputs (generated in Step #18) from the appropriate NASA Center are examined by the Peer Review Panel(s). The Panel(s) incorporates the inputs submitted from mail-in reviewers (if applicable) into a set of final peer review evaluations for the proposals. |
| 20 | Program Scientist | Based upon the results of the Peer Review Panel evaluations, prepare and present the Research Program Plan to the designated Selecting Official.  |

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| 21 | Program Scientist | Prepare and send notification letters to all proposal submitters to identify which proposals have been selected.   |
| 22 | Program Scientist | Debrief all proposal submitters.   |
| 23 | Program Scientist | Send the Research Program Plan and the original proposals to the Procurement Office at the Goddard Space Flight Center (GSFC), which issues the signed award notice and returns a copy of it to OSS. |
| 24 | Program Scientist | File a copy of each selected proposal, its Peer Review evaluation, letter of selection, and award notice in a Proposal Jacket.   |

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### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
NRA Concurrence Signoff Sheets	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
NASA Research Announcements (NRA's)	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copies of <i>Commerce Business Daily</i> (CBD) Notices	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copies of E-mail Notifications to OSS Subscribers	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Approved Research Program Plans	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years 3 months old.
Selected Proposal Jackets	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years 3 months old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via shadowing of their ANSI symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]

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